

**Maine Judicial Branch  
Request for Information  
Case Management System**

October 5, 2012

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**Appendix A – 2011 Annual Report, Maine Judicial Branch**

**Appendix B – Information Sought Through MJB CMS RFI**

## A. Introduction

The Maine Judicial Branch (MJB) is seeking information from manufacturers/developers (hereafter “vendors”) for a full feature contemporary Court Case Management Systems (CMS) for the Maine Judicial Branch (MJB), a statewide unified multi-jurisdictional judicial system. The CMS will be used statewide for all jurisdictions and all case types.

This is only a Request for Information (RFI). By issuing this RFI, the MJB does not express an intent, commitment, or promise to purchase a CMS from respondents nor to issue a Request for Proposals (RFP) in the future to procure a CMS for such purposes. Responses to this RFI will not be considered by the MJB as offers to enter a contract.

Vendors that respond to this RFI are expected to provide information including, but not limited to, the technology and software options they offer for a CMS.

## B. Terms and Conditions

1. The MJB **will not become obligated** as the result of this RFI.
2. Information submitted in response to this RFI will become the property of the MJB.
3. **Confidential information must be in a separate document marked as confidential.**  
Information that is proprietary or trade secret may be protected from disclosure only if placed in a separate document prominently labeled as confidential. The Judicial Branch will not be liable for the intentional or unintentional release of any confidential information intermingled in the main document, whether or not it is labeled as confidential. All information in the main document will be considered public no matter how it may be marked.
4. The MJB **will not pay** for any information herein requested nor is it liable for any costs incurred by the vendor.
5. Economy of presentation: The response shall be in a PDF file of no more than 50 pages. Colored displays, promotional materials, and the like are not required.
6. Vendors may be asked to provide a demonstration of their CMS software. All demonstrations will be scheduled for the week of November 26 and will be limited 4 hours (a half day, morning or afternoon). Please indicate your willingness to provide a demonstration of your product during that week.
7. This RFI is being submitted strictly for the purpose of gaining knowledge of the products and services available. The vendor is not required to quote prices for any solutions proposed. However, general cost estimates, including your general pricing structure with a breakdown of normal initial costs, contractual hourly rates, and optional service/maintenance costs are

requested. The figures provided are not binding and may be provided in the confidential section if desired.

### **C. Purpose and Objectives of the RFI**

The Maine Judicial Branch (MJB) is committed to the efficient and effective use of its financial, technology, and staff resources. In pursuit of this goal, the MJB is examining whether a new CMS will

- 1) improve service to the public,
- 2) provide web access to attorneys, litigants, and the public,
- 3) enable electronic processing of cases (e-filing and workflow processing),
- 4) increase staff and judicial efficiency,
- 5) provide an accurate real time record of case events,
- 6) improve our ability to share real time information with our justice partners, and
- 7) improve judicial management of cases.

With this RFI, the MJB seeks information regarding the features, quality, reliability, operation, warranty, cost, serviceability, installation, and use of CMS software and related products and services.

### **D. Background Information on the Maine Courts**

The MJB provides judicial services to all of Maine's 16 counties, which are organized into eight judicial regions. There are 39 court locations throughout the state. Attached for your reference is the 2011 Annual Report for the Maine Judiciary (Appendix A). The report provides all the information concerning the business of the MJB including annual caseload and the number and type of staff.

Technology for the MJB is supported by the Office of Information Technology (OIT). The MJB's OIT is not to be confused with the Executive Branch who also has an Office of Information Technology (OIT). The MJB, an independent branch of government, has its own separate and independent OIT.

The MJB OIT has a staff of 15 and is divided into three units, Help Desk and Training (Customer Support), Programming (Applications), and System Administration (Infrastructure). The MJB currently is using Apple for its desktop and its current CMS, (MEJIS, Maine Judicial Information System), is client server with Oracle as the database and the client written in COCO. The MJB is willing to consider PC based CMS but a web based system that is compatible with a MAC compliant browser would be the perfect world, allowing the MJB to more smoothly migrate to a PC desktop if necessary. The MJB is considering a PC environment in the courtroom for electronic recordings.

## **E. Products and Services of Interest**

This Request for Information (RFI) includes the following applications and services:

- Court Case Management System
- Document Management System with security feature to allow specified access by user.
- E-filing capabilities
- Ability to deal with electronic and/or digital signatures of judges and staff members on official documents.
- Report writing, dashboard, or business Intelligent system
- On-line payment capabilities/interfaces with search feature-real time that automatically updates the system and includes On-line docking listing and On-line warrant listing
- Audit features that track case activities by user identification.
- An application interface (API) for data exchange to and from federal, state, and local government agencies as well as vendors such as debt collection vendors and other vendors hired to assist the MJB in fulfilling its judicial and related responsibilities.
- Dashboard type interface for judges to manage case inventories and assigned cases.

## **F. Information Requested from Vendors**

In addition to the information concerning CMS products and capabilities we would also like information concerning the following.

- Durability: Provide an estimate of the average number of years your software is likely to be supported before requiring a replacement or mandatory upgrade.
- Warranty: Provide details on the warranty you provide on software.
- Provide evidence of your company's financial condition that would convince a potential customer that your company will provide support and upgrades for equipment and software for the next 10 to 20 years.

## **G. Functionality of CMS Products**

The primary focus of this RFI is to determine the capabilities and services of vendors and the functionality of their CMS and related products. Appendix B contains a list of capabilities and functionality that the MJB is interested in their search for a new CMS. Please address the items listed in Appendix B and how your CMS or related products handle the identified functions.

## **H. General Cost Estimates**

The vendor should provide an estimate of costs associated with their CMS products, including licensing, consulting, and other services required to purchase, configure, implement, and maintain their CMS. These estimated costs should include software modifications, 3rd party interfaces, custom programming, upgrades, and all related costs including hardware, support, maintenance, and training, etc. needed to implement their solution.

These cost estimates may be included in a confidential document along with any other confidential or proprietary information submitted for consideration. The vendor will not be held to any cost estimates provided in response to this RFI. These estimates will only be used to support the MJB's budget proposal to the legislature.

## **I. Deadline for Information Requested**

A vendor's response shall be contained in an electronic PDF document. It will be considered by the MJB only if it is received not later than November 9, 2012. Confidential information should be included in a separate PDF document clearly labeled as confidential.

## **Appendix B**

### **Information Sought Through MJB CMS RFI**

Please follow this organization when providing the information requested. Remember any proprietary information must be provided in a separate document.

#### **1) Overview of Company and Solutions**

- a) Company History
- b) Business Units
- c) Court Products Currently Offered or Deployed (e.g., CMS for court by jurisdiction and case type and for justice partners, document management, e-filing, jury management, etc.)
- d) Staff Supporting Court products
- e) Strategies for Emerging Technologies

#### **2) Business Model**

- a) Licensing
- b) Support/Maintenance
- c) Help Desk/Issue Resolution
- d) Product Enhancement/Upgrade Planning
- e) Product Modification, Customization, Configuration
- f) Release Scheduling and Deployment

#### **3) Community Involvement**

- a) Industry Groups (e.g., FACT, IJIS Institute)
- b) Standards Development (e.g., Global)
- c) Conferences/Exhibits
- d) User Groups
- e) Volunteer Efforts

#### **4) Technical Environment**

- a) Software Development Tools/Environment (e.g., JAVA, .Net)
- b) Database(s) supported
- c) Data Model
- d) Architecture (e.g., client/server, N-tier, open/closed)
- e) Standards Compliance (e.g., NIEM, SOA, JRA)
- f) Information Exchange Tools/Methods (e.g., APIs, broker, ESB)
- g) Reporting Tools
- h) Software Configuration Management (e.g., bug tracking tool, method of release)

#### **5) Hardware Specifications** (What hardware and system configurations of the following are required for this implementation?)

- a) Server Details (processor, memory)

- b) Operating System
- c) Network Environment
- d) Virtual Environment, Redundancy, Disaster Recovery
- e) Disk usage, Storage requirements
- f) Workstation Requirements
- g) Printer Compatibility
- h) Possible configuration options
- i) Responsibility for hardware and system software maintenance?

## **6) Product Delivery Methodology/Practices**

- a) Business Development to Contract
  - i) Assessment of Opportunities – Fit and Capacity
  - ii) Response to RFPs
  - iii) Contract Negotiation
- b) Contract to Delivery
  - i) Analysis of Needs/Fit/Suitability
  - ii) Identification of Gaps/Modifications
  - iii) Design and Development of Customizations
  - iv) Support for Configuration
  - v) Testing and Deployment
  - vi) Onsite “Go Live” Assistance
- c) Delivery to Maintenance
  - i) Help Desk
  - ii) Client Environment Replication
  - iii) Support for Custom Coding
  - iv) Assistance with New Releases
  - v) User Groups/Other Input

## **7) Implementation Methodology**

- a) What are the Project Management functions and responsibilities of the Implementation process?
  - i) Address Project Consulting Information
- b) What training, instructional requirements and information is part of this implementation? Address the following:
  - i) Training Methodology
  - ii) Training Options
  - iii) Training Requirements
  - iv) Syllabus Information
- c) What Data Migration processes are recommended for an implementation? Address the following:
  - i) Migration Methods
  - ii) Data Validation



- iii) Archiving of data
- d) What Timelines are recommended?
  - i) Provide a sample Implementation Gantt Chart
- e) What do you see as the Client's Responsibilities?
  - i) What is the MJB responsible for during Implementation?
  - ii) What services does the Vendor recommend supplying?

## **8) Support**

- a) What are Support Options for your product? Address the following:
  - i) In-context help (within product)
  - ii) Toll-free support number
  - iii) Client maintained/staffed support desk
  - iv) Online Support
  - v) Other options
- b) What are the vendor's support goals? Address the following areas:
  - i) Response Times and Resolution Times to the following incident levels
    - (1) Emergency
    - (2) Critical
    - (3) Standard Help Call
    - (4) Other Options
- c) What is recommended for Problem Escalation Procedures?
  - i) How are incidents tracked and handled?
  - ii) What tools do the Vendor Support Staff use?
- d) What are the timelines and procedures for System Enhancements/Updates, etc.?
  - i) How are updates managed?
  - ii) How often are updates released?
  - iii) What is the typical downtime during an update?
  - iv) Can software system be updated easily due to legislative changes impacting case processing, etc?
  - v) How are enhancements / new feature requests handled

## **9) Higher-Level Court Automation Capabilities**

- a) Application/Workflow Configurability
  - i) Set up Screens/User Interface
  - ii) Set up Role Security/Data Access
  - iii) Set up Workflow (including business rule triggers)
  - iv) Set up Ticklers/Alerts/Notifications
  - v) Set up Data Validations (for data entry)
  - vi) Set up Document Generation/ Batching
  - vii) Set up Dashboard (appropriate to role)
  - viii) Custom Database Elements

- b) Manage Person Identities
  - i) Robust search tools to identify possible matches
  - ii) Tools to identify possible duplicate identities
  - iii) Functions to merge and unmerge identities
  - iv) Functions to link and unlink persons, cases
  - v) Comprehensive, formal business rules to govern how these utilities are used
- c) Financial Management
  - i) Receipting
  - ii) Accounts
- d) Technical Infrastructure
  - i) Infrastructure provides adequate response time and minimizes down time
- e) System Security
  - i) User authentication
  - ii) Security and integrity of the case processing system, its data and documents during normal operations and after a system failure or outage
  - iii) Configure and designate confidential data, documents, cases
  - iv) Redaction capabilities
  - v) Audit trails provided
- f) CMS Database Structure
  - i) The case management system should provide both person-centric and case-centric views. A person-centric view, for example, would show all financial obligations and scheduled events for a person, across all cases and courts.
  - ii) All database elements should be date and time-stamped to allow re-creation of statistical /financial reports for any point in time.

## **10) Case Management**

- a) Case Initiation
- b) Real – Time Operations
  - i) At the counter: speed of entry, navigation, search and find capabilities, availability of information, documents after entry
  - ii) In the Courtroom: speed of entry, navigation, search and find capabilities
- c) Docketing/Events
  - i) System docketing rules.
  - ii) System capabilities to automatically create entries in the register of actions, or docket.
- d) Scheduling of Events (ticklers, alerts, prompts, notifications)
- e) Calendaring
- f) Forms and Document Creation

## **11) Utility Functions**

- a) Ability to Search and Find and Replace: Enter search criteria
- b) Ability to Mass Case Update: “Select All” or some from list to perform action

- c) Ability to collapse person records: Combine two person records into a single record that are found to be the same person
- d) Ability to collapse organization cases: Combine two organization records into a single record that are found to be the same organization (branch of bank, other location of grocery store)
- e) Ability to Consolidate Cases: Multiple cases for one person to treat as one case for court actions
- f) Ability to Associate Cases: Link different type cases or different defendants to treat as one case for court actions
- g) Ability to Associate Persons: Family relationships, gang membership
- h) Ability to assign cases to department, judge, and to consider case load, weight of case types, participant history
- i) Ability to handle Appointed Counsel Assignment: Consider assignment of PD to courtroom, or equal assignment if private appointed counsel
- j) Spell Check
- k) Other utilities available not mentioned above.

## **12) Specialized Processing**

- a) Treatment Court Case Management (e.g., Drug, Mental Health, Domestic Violence)
- b) Child Welfare (Dependency – Neglect/Abuse, Federal requirements, 1 judge 1 family)
- c) Court Performance Measures
- d) Judicial access, management of cases (dashboard type interface)
- e) Define deferential case management tracks (DCM)
- f) Jury management
- g) Mediation, Alternative Dispute, Interpreters management
- h) Adaptability to a statewide unified court systems (all jurisdictions, all case types)

## **13) Expanded Capabilities**

- a) Integration
  - i) Document management systems
  - ii) E-filing systems, e-citations
  - iii) Inter-Agency Exchanges with justice partners (local, state, and Federal)
  - iv) Interface with third party vendors (collection vendors, PayPal, IVR, etc.)
  - v) E-Payments (e.g., credit/debit cards, ACH)
- b) Public Electronic Access to Records
  - i) Public Access to Public Information, including Redaction
  - ii) Specialized Access Permitted by Role/Role in Case
- c) Electronic Filing
  - i) Current and Planned
  - ii) Business Model (commercial, local, fees, customers, etc.)
  - iii) Case Initiation and Subsequent Filing Support
  - iv) Electronic and/or digital signatures

- v) Connectivity and Connections – User interfaces, Payment handling, Notices, CMS Integration
- d) Self-Represented Litigants
  - i) Current and Planned
  - ii) Access to Records
  - iii) Access to Tools (guidance, forms, filing)
  - iv) Connectivity and Connections – User interfaces, Payment handling, Notices, CMS Integration

#### **14) Case Initiation and Indexing**

- a) Pre-case processes (warrant, bail, shell case)
- b) Paper submission processing (filing, scanning, etc.)
- c) Electronic receipt of case documents and data
  - i) E-filing integration with CMS and DMS
  - ii) Bulk filing interface (prosecutor complaints)
  - iii) Web-based applications/portals
- d) Acknowledgement or rejection of filings
- e) Case identifiers
- f) Parties and participants in cases
  - i) Party relationships with individuals, agencies, organizations, etc.
  - ii) Party identification, demographic, and contact information
  - iii) Legal status of party (detention, probation, pretrial release, outstanding warrant, etc.)
  - iv) Linking and unlinking identities
- g) Case transfers
- h) Case relationships with other cases
  - i) Consolidation and severance
  - j) Assigning judges and other participants
  - k) Changing judge and other participant assignments
  - l) Attorney entry and withdrawal
- m) Case categorization (case type, subtype)
- n) Charges, allegations, cause of action
- o) Case status
- p) Case management track
- q) Party status
- r) Searching for cases and parties
- s) Case information display
- t) Multiple case entry from a single action
- u) Reopening closed cases

#### **15) Ticklers, Alerts, Prompts, Notifications**

- a) Automatically create ticklers, alerts, prompts, and notifications based on business rules
- b) Modify or satisfy ticklers, alerts, prompts, and notifications based on business rules

- c) Manually create and maintain ticklers, alerts, prompts, and notifications

## **16) Docketing**

- a) Paper filings
- b) Electronic submissions
  - i) E-filing integration with CMS and DMS
  - ii) Tagged data (Web-based forms, “smart” documents)
- c) Service/returns
- d) Court events
  - i) Court minutes (summary of proceedings)
- e) Court orders and other court-generated documents
- f) Multiple docket entries from single action
- g) Automatic docket entries from other CMS functions
- h) Link docket entries associated with a common motion, event, or other activity

## **17) Calendaring and Scheduling**

- a) Create and maintain calendar sessions
  - i) Associate calendar sessions with case types and subtypes
  - ii) Associate calendar sessions with types of proceedings
  - iii) Maintain business rules for adding cases to sessions
- b) Relate judges and staff to courtrooms, case categories, case management tracks, and other resources
- c) Move or reschedule sessions and cases with single action
- d) Maintain or consult schedules of certain case participants
- e) Time standards
- f) Schedule related cases as if a single case
- g) Waiting list, trailing cases, cases ready for trial
- h) Case assignments
  - i) Scheduling conflict management (judges, attorneys, interpreters, reporters, courtroom staff, etc.)
- j) Calendar notes

## **18) Document Creation and Tracking**

- a) Generate documents from CMS data and court templates
- b) Distribute documents electronically and record service
- c) Issue warrants, subpoenas, writs, and other court documents
- d) User creation and maintenance of templates
- e) Signatures, stamps, and seals

## **19) Events**

- a) Case minutes
- b) Digital recording log of cases, events, and witness testimony

- c) Accept and log documents, exhibits, and evidence
- d) Judicial findings
- e) Orders
- f) Document production, creation, printing
- g) Approval
- h) Signature
- i) Document distribution (interfaces)

## **20) Bail**

- a) Custody status and bail
- b) Bonds, third party bail posting, nonmonetary bonds
- c) Concurrent Bail
- d) General bail management
- e) Reconciliation of bail escrow/trust accounts

## **21) Warrants**

- a) Issuance
- b) Cancellation/recall
- c) Execution

## **22) Disposition**

- a) Juries
- b) Judicial findings
- c) Pleas
- d) Sentencing
  - i) Fines, fees, costs, restitution
  - ii) Alternative Sentencing, (pre and post disposition)
  - iii) Incarceration
  - iv) Supervision
  - v) Treatment
  - vi) Other conditions
- e) Judgments
  - i) Modifications
  - ii) Expiration and renewal
  - iii) Satisfaction
  - iv) Transcription and registration
  - v) Post-judgment enforcement actions
- f) Case closure

## **23) Post Disposition Compliance and Execution**

- a) Monitoring compliance with court orders
- b) Probation revocation

## **24) Receipting/Revenue**

- a) Accept payments
- b) Accounts consolidating obligations from multiple cases
- c) Payment plans
  - i) Create first payment plan
  - ii) Add new payment plan or update first payment plan
- d) Account status
- e) Partial and installment payments
- f) Payment types
- g) Receipting
- h) Credit payments to cases
- i) Accept payments for cases in other locations, counties or courts (cross court receipting)
- j) Miscellaneous receipts (copies, certifications, other non-case related fees)
- k) Transfer funds between cases
- l) Create transaction lists for balancing cash drawers
- m) Revenue distribution
  - i) Automatic setup of revenue distribution for obligations
  - ii) Distribute revenue to accounts
  - iii) Consolidate revenue across courts
  - iv) Revenue reports (daily, weekly, monthly)
  - v) Disburse funds
- n) Adjusting entries (errors, non-sufficient funds payments)
- o) Record judgments and modification of judgment amounts paid through or monitored by court
- p) Compute arrearages and interest charges

## **25) Accounting**

- a) Maintain chart of accounts for one or multiple courts
- b) Create new accounts
- c) Monitor and manage multiple bank accounts
- d) Monitor and manage debit accounts
- e) Trust account management (money held in court registry including cash bonds, disputed funds)
- f) Post interest accrued and service charges
- g) Manage insufficient fund payments
- h) Total and reconcile receipts across multiple cashiers/courts
- i) Create deposit documents
- j) Total and reconcile disbursements
- k) Reconcile bank accounts electronically
- l) Cash receipts journal
- m) List open accounts with amounts owed

- n) Write off accounts
- o) Maintain tables of standard fines, fees, and costs
- p) Trial balance
- q) Holds on accounts
- r) Escheatment
- s) General ledger, dedicated funds and fees, svc charges

## **26) Records Management**

- a) File tracking
  - i) Mark restricted access file
  - ii) Lost files
  - iii) Labels
  - iv) File location and status
- b) Archiving and purging
  - i) Identify cases
  - ii) Purge electronic data and indexes
- c) Sealing and expungement/expunction
  - i) Identify cases
  - ii) Expunge charges, cases
  - iii) Seal cases
  - iv) Unseal cases
- d) Exhibits and evidence tracking
  - i) Receipts
  - ii) Location and status
  - iii) Return
  - iv) Destruction
- e) Document management
  - i) Accept electronic documents and link to case
  - ii) Apply case security to electronic documents
  - iii) Display documents from register of actions
  - iv) Accept court-generated documents
  - v) Annotation
  - vi) Redaction
  - vii) Version control
  - viii) Automatic indexing (tagged documents)

## **27) Data Integrity**

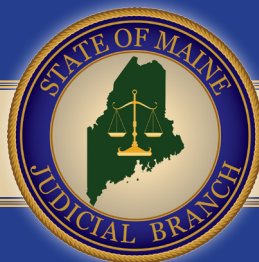
- a) Integrity
  - i) Audit trails
  - ii) Error correction, real time edits
  - iii) Error messages



**28) Reporting**

- a) Business intelligent, dashboard presentations
- b) ETL processing, data warehousing for reports
- c) Case inventory by pending event(s), by court, by judge
- d) User-configurable reports
- e) Merge into third party software (Word, Excel, PowerPoint, etc.)

## MAINE JUDICIAL BRANCH



## 2011 ANNUAL REPORT

**MISSION:** To administer justice by providing a safe, accessible, efficient and impartial system of dispute resolution that serves the public interest, protects individual rights, and instills respect for the law.

## MAINE STATE COURTS: AT A GLANCE

POPULATION OF MAINE.....1,328,361  
GEOGRAPHIC AREA.....30,843 sq. mi.  
COURT LOCATIONS.....39

**FY'11 EXPENDITURES:**

Judicial Branch Operations .....\$46,177,758  
Personal Services .....\$33,344,332  
All Other Operation Expenses.....\$12,833,426  
Guardians ad Litem, Psychological Exams.....\$2,781,366  
Debt Service .....\$6,736,006  
**TOTAL: \$55,695,130**

**FY'11 REVENUE:**

Deposited to Maine's General Fund.....\$35,710,075  
Deposited to Dedicated Revenue Accounts.....\$8,779,430  
**TOTAL: \$44,489,505**

JUDGES (Total).....60  
Supreme Judicial Court Justices .....7  
Superior Court Justices .....17  
District Court Judges .....36  
FAMILY LAW MAGISTRATES.....8  
STAFF (clerks, security & support) .....425  
**TOTAL: 493**

TOTAL 2011 CASES FILED.....260,788  
Supreme Judicial Court.....690  
Superior Court .....16,232  
Unified Criminal Dockets.....16,541  
District Court.....110,835  
Violations Bureau .....116,490

## MAINE COURTS: OPEN FOR BUSINESS



The recently renovated courtroom in the Aroostook County Courthouse in Houlton.

## BUSINESS AND CONSUMER DOCKET



Justice A. Mark Horton, Chief Justice of the Superior Court Thomas Humphrey and Justice John Nivison.

The Business and Consumer Docket (BCD), was established in June 2007. It was designed to improve the management and timely resolution of increasingly complex civil cases by providing Maine's business community and consumers with prompt and consistent access to justice. Its caseload is limited to disputes arising out of the operations and governance of businesses as well as consumer rights claims pertaining to transactions and dealings with business entities, and includes jury and nonjury civil cases requiring specialized and differentiated judicial management.

The goal of the BCD is to provide parties with clarity regarding the court's expectations for pretrial and trial processes; certainty regarding the prompt scheduling of pretrial matters and trials; and to contribute to a body of case law precedent to help potential litigants and their lawyers have a better understanding of those laws.

In 2011, Justice A. Mark Horton joined Chief Justice Thomas Humphrey and Justice John Nivison on the Business and Consumer Court, and the BCD clerks' office was moved to the Cumberland County Courthouse, where BCD clerks manage cases from all over the state. The BCD continues to conduct trials and hearings throughout the state, at court locations that are convenient for the parties, witnesses and the court.

## SAFETY &amp; SECURITY REMAIN TOP PRIORITIES



Entry screening at the District Court in Biddeford.

In 2011, entry screening exceeded all previous years, with judicial marshals and deputy sheriffs screening more than 463,000 persons as they entered courthouses on over 1,800 court days throughout the year. This meant that entry screening was provided about 21% of the time courthouses were open.

### SUPREME JUDICIAL COURT



Front Row: Justice Donald G. Alexander, Chief Justice Leigh I. Saufley, Justice Jon D. Levy

Back Row: Justice Ellen A. Gorman, Justice Warren M. Silver, Justice Andrew M. Mead, Justice Joseph M. Jabar

### CHIEFS



From Left to Right: THOMAS E. HUMPHREY, Chief Justice, Superior Court; LEIGH I. SAUFLEY, Chief Justice, Supreme Judicial Court; CHARLES C. LAVERDIERE, Chief Judge, District Court; ROBERT E. MULLEN, Deputy Chief Judge, District Court

### ADMINISTRATIVE LEADERSHIP



From Left to Right: LAURA O'HANLON, Chief of Court Management; TED GLESSNER, State Court Administrator; DEBORAH CARSON, Chief of Finance and Administration

### TRIAL COURT FILINGS FY'11 TOTAL: 260,098

#### CIVIL FILINGS: 41,558

	SUPERIOR	DISTRICT
Contract	473	8,805
Foreclosure	1,530	3,453
Tort	989	164
Other Civil	1,202	853
Small Claims		13,550
Money Judgments		5,377
FEDs (Eviction)		5,162
<b>TOTAL(S):</b>	<b>4,194</b>	<b>37,364</b>

#### CRIMINAL FILINGS: 58,315

District Court Criminal	31,988
District Ct. Probation Revocations	575
Superior Court Criminal	9,265
Sup. Ct. Probation Revocations	2,773
Unified Criminal Dockets	13,230
UCD Probation Revocations	484

#### DISTRICT COURT FAMILY DIVISION: 25,581

Juvenile	3,124
Divorce	6,824
Other Family Relations	2,634
Family Post-judgment	6,198
Child Protective	556
Protection from Abuse	6,245

#### OTHER ACTIONS: 18,154

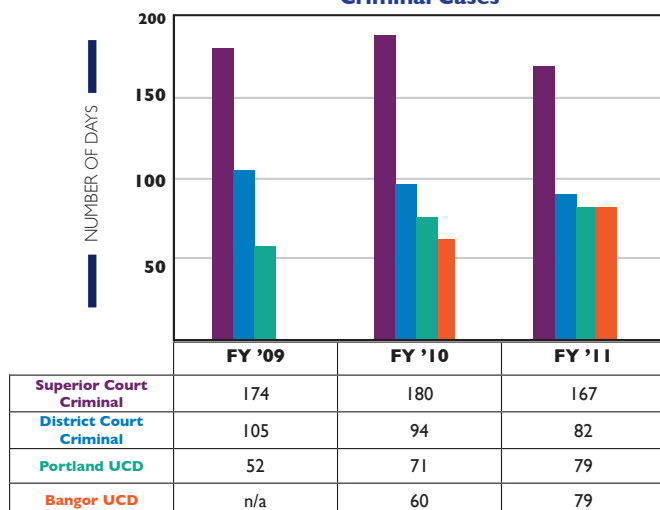
Mental Health (District Court)	1,153
Protection from Harassment (District Court)	4,155
Civil Violations (District Court & UCDs)	12,846

#### VIOLATIONS BUREAU

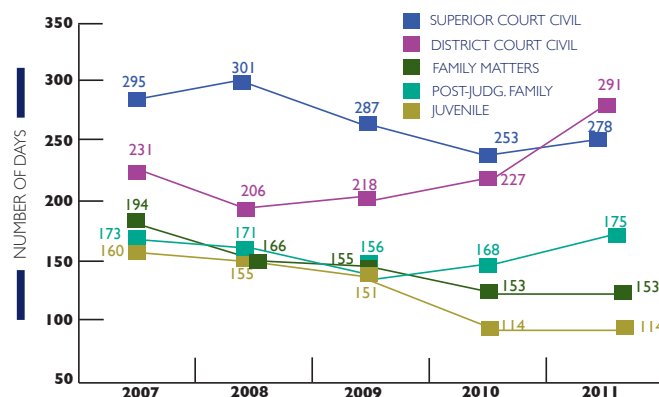
Traffic Infractions	116,490
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### TIME TO RESOLUTION OF CASES

#### Criminal Cases



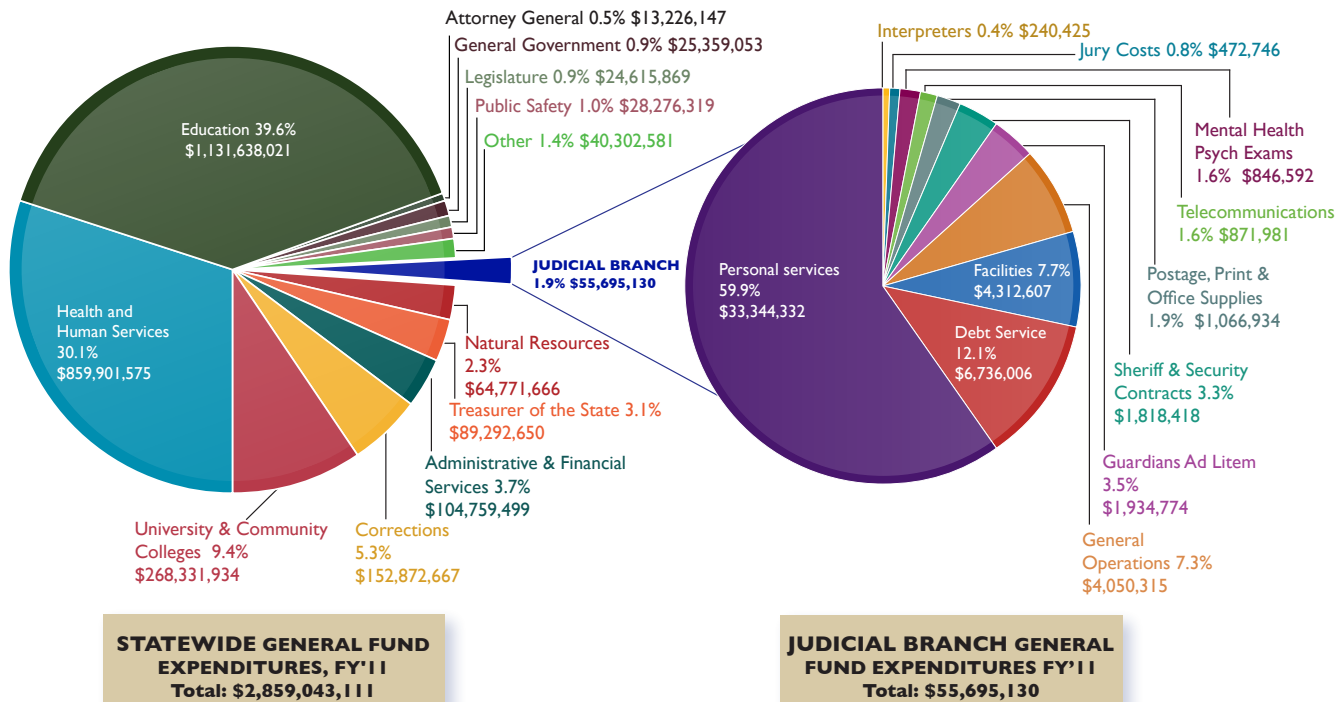
The trial courts in Portland and Bangor have adopted a unified process for criminal cases and have eliminated the need for transferring cases from District to Superior Court. This model has simplified procedures for litigants and stakeholders, has eliminated duplication of work by clerks, and has substantially reduced the time for felony resolution.



Coordinated regional scheduling has greatly reduced the time it takes to dispose of the most urgent cases – those dealing with violence, children, and families. For example, as illustrated by this graph, the average age of pending juvenile cases has decreased significantly, from 160 days in 2007 to 114 days in 2011.

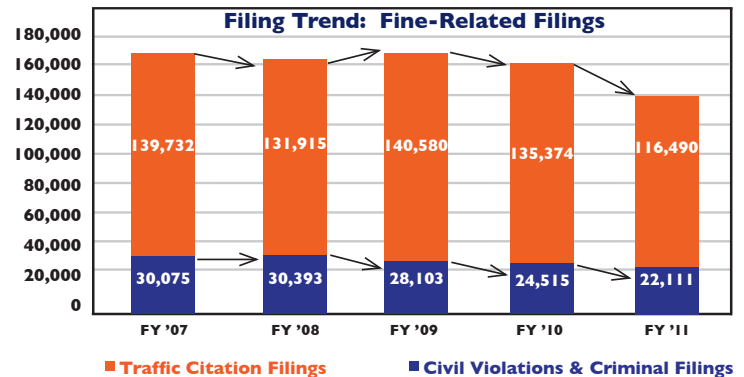
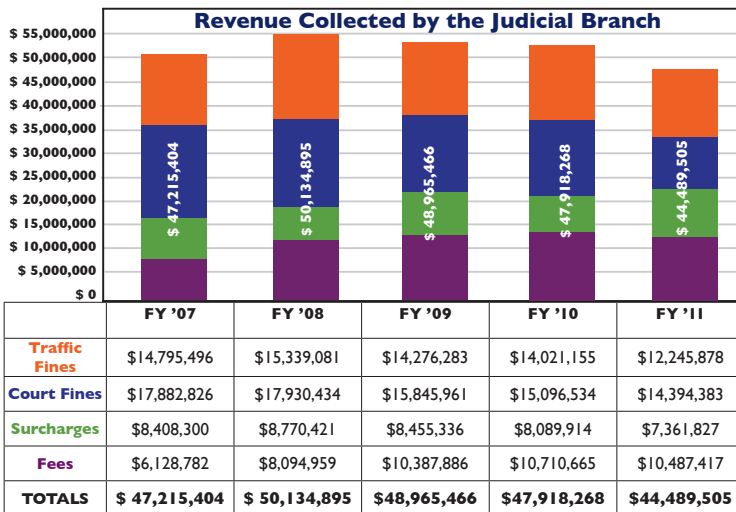
Data provided in this graph illustrates the average number of days from filing date, for all cases that are open on June 30 each year.

### GENERAL FUND AND JUDICIAL BRANCH EXPENDITURES



In FY'11, General Funds received by the Judicial Branch were less than 2% of the State total. Personal Services accounted for more than half (59.9%) of Judicial Branch expenditures.

### FY'11 REVENUE



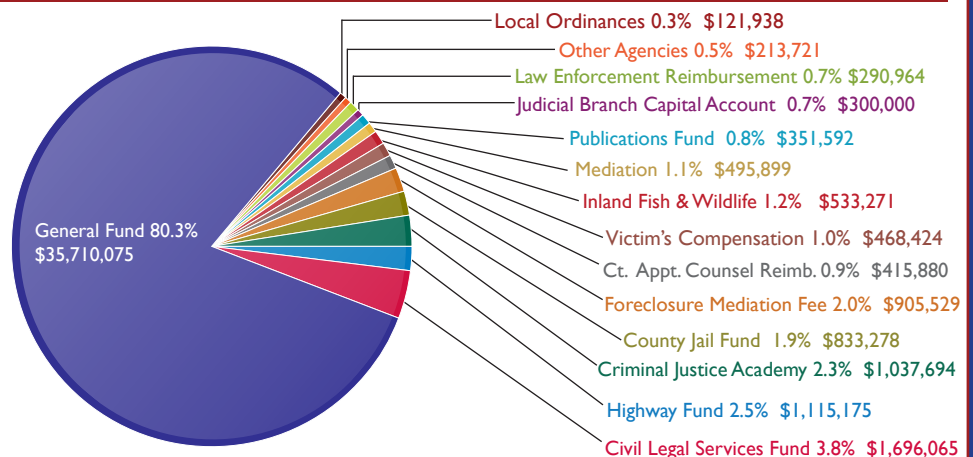
After reaching a record high in FY'08, fine and related surcharge revenue has decreased in recent years. The primary cause for the reduction is the decline in the number of criminal cases, civil violations, and traffic citations filed in the courts, as illustrated by the chart above.

### REVENUE DISTRIBUTED BY THE JUDICIAL BRANCH

#### FY'11 Revenue Distribution

Total: \$44,489,505

All revenue collected by the Judicial Branch is deposited into the State's General Fund and to other dedicated accounts as required by Maine Statutes. Sources of revenue include fees, fines and surcharges.





# COURT REGIONS AND CASES FILED

## Appendix A

**Traffic Citations: 116,490 Statewide**

### REGION 5

**CASE TOTAL** ..... 18,816  
**REGIONAL POPULATION** ..... 171,458  
**COURT FACILITIES** ..... 6

#### PENOBSCOT 3,397 square miles

Bangor Superior.....670  
 Penobscot UCD .....5,897  
 Bangor District.....5,818  
 Newport District.....2,359  
 Lincoln/Millinocket District...2,240

#### PISCATAQUIS 3,961 square miles

Dover-Foxcroft Superior.....154  
 Dover-Foxcroft District .....1,678

### REGION 4

**CASE TOTAL** ..... 20,154  
**REGIONAL POPULATION** ..... 174,379  
**COURT FACILITIES** ..... 6

#### SOMERSET 3,924 square miles

Skowhegan Superior.....859  
 Skowhegan District.....5,056

#### KENNEBEC 868 square miles

Augusta Superior.....1,757  
 Augusta District.....7,079  
 Waterville District.....5,403

### REGION 3

**CASE TOTAL** ..... 22,709  
**REGIONAL POPULATION** ..... 196,303  
**COURT FACILITIES** ..... 7

#### FRANKLIN 1,697 square miles

Farmington Superior.....351  
 Farmington District.....2,794

#### OXFORD 2,077 square miles

South Paris Superior.....851  
 South Paris District.....2,604  
 Rumford District.....2,159

#### ANDROSCOGGIN 468 square miles

Auburn Superior.....2,029  
 Lewiston District.....11,921

### REGION 2

**CASE TOTAL** ..... 25,488  
**REGIONAL POPULATION** ..... 281,674  
**COURT FACILITIES** ..... 2

#### CUMBERLAND 835 square miles

Portland Superior .....1,262  
 Cumberland UCD .....10,644  
 Portland District.....10,014  
 Bridgton District.....3,568

### REGION 1

**CASE TOTAL** ..... 22,999  
**REGIONAL POPULATION** ..... 197,131  
**COURT FACILITIES** ..... 4

#### YORK 991 square miles

Alfred Superior.....3,813  
 Biddeford District .....9,595  
 Springvale District.....5,746  
 York District.....3,845

### REGION 8

**CASE TOTAL** ..... 8,125  
**REGIONAL POPULATION** ..... 71,870  
**COURT FACILITIES** ..... 5

#### AROOSTOOK 6,671 square miles

Caribou/Houlton Superior.....1,194  
 Caribou District.....1,414  
 Houlton District.....1,556  
 Presque Isle District.....2,673  
 Fort Kent/Madawaska District...1,288

### REGION 7

**CASE TOTAL** ..... 8,743  
**REGIONAL POPULATION** ..... 87,274  
**COURT FACILITIES** ..... 3

#### HANCOCK 1,587 square miles

Ellsworth Superior.....502  
 Ellsworth District.....4,687

#### WASHINGTON 2,563 square miles

Machias Superior.....472  
 Machias District.....1,700  
 Calais District.....1,382

### REGION 6

**CASE TOTAL** ..... 16,574  
**REGIONAL POPULATION** ..... 148,272  
**COURT FACILITIES** ..... 6

#### WALDO 730 square miles

Belfast Superior.....585  
 Belfast District.....3,079

#### KNOX 365 square miles

Rockland Superior.....578  
 Rockland District.....3,763

#### LINCOLN 456 square miles

Wiscasset Superior.....591  
 Wiscasset District.....2,481

#### SAGADAHOC 254 square miles

Bath Superior.....564  
 West Bath District.....4,933

### KEY

- District Court
- Superior Court
- ▲ District and Superior in the same city/town.
- ★ District and Superior Court occupy the same building.

Counties grouped together by color are part of a single court **REGION**, where resources and scheduling are coordinated.

### FOR MORE INFORMATION:

Visit the Court's web page at [www.courts.state.me.us](http://www.courts.state.me.us) where you will find:

- **PUBLICATIONS:** *A Guide to Small Claims* • *A Guide to Protection from Abuse and Harassment* *Citizens Guide to the Courts* • *Child Protective Handbooks*

- **INFORMATION** about court proceedings and offices

- **LINKS** to legal resources, volunteer opportunities, court rules, forms and opinions

An expanded version of this report is available at [www.courts.state.me.us/reports\\_pubs/reports/annual\\_reports/index.shtml](http://www.courts.state.me.us/reports_pubs/reports/annual_reports/index.shtml)

#### ADMINISTRATIVE OFFICE OF THE COURTS

PO Box 4820  
 Portland, ME 04112-4820  
 (207) 822-0792  
 (207) 822-0701 (TTY)

### PROTECTION FROM VIOLENCE

**If You Are In Immediate Danger Call 9-1-1.**

For information about Protection Orders visit [www.courts.state.me.us/maine\\_courts/district/protection\\_orders.html](http://www.courts.state.me.us/maine_courts/district/protection_orders.html)